

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No.	C10397045 (HCL/MAT)
	First Named Inventor or Application Identifier	
	KRIEG, Arthur M.	
	Express Mail Label No.	EL565146839US
	Date of Deposit	April 2, 2001

1057 U.S. PTO  
04/02/01

04/02/01

<b>APPLICATION ELEMENTS</b> <i>See MPEP chapter 600 concerning utility patent application contents</i>	<b>ADDRESS</b> <b>Box Patent Application</b> TO: Commissioner for Patents Washington, DC 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form <i>(Submit an original, and a duplicate for fee processing)</i>  2. <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. <input type="checkbox"/> Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application, Status still proper and desired.  3. <input checked="" type="checkbox"/> Specification [Total pages 59] 55 - pages description 1 - pages abstract 3 - pages claims                      20 - Total claims  4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total sheets 9] <input type="checkbox"/> Informal <input checked="" type="checkbox"/> Formal    [Total drawings 9]  5. <input checked="" type="checkbox"/> Oath or Declaration [Total pages 4] a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i> [Note Box 6 below] i. <input type="checkbox"/> DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).  6. <input checked="" type="checkbox"/> Incorporation by Reference <i>(usable if Box 5b is checked)</i> The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein. See page 2.	7. <input type="checkbox"/> CD-ROM or CD-R, in duplicate, large table or Computer Program (Appendix)  8. <input checked="" type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Form (CRF) b. <input checked="" type="checkbox"/> Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input checked="" type="checkbox"/> paper (identical to computer copy) c. <input checked="" type="checkbox"/> Statement verifying identity of above copies  <b>ACCOMPANYING APPLICATION PARTS</b>  9. <input type="checkbox"/> Assignment Papers/cover sheet & documents(s)  10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <i>(when there is an assignee)</i> <input type="checkbox"/> Power of Attorney  11. <input type="checkbox"/> English Translation of Document <i>(if applicable)</i>  12. <input checked="" type="checkbox"/> Information Disclosure Statement PTO-1449 <input type="checkbox"/> Copies of IDS Citations  13. <input checked="" type="checkbox"/> Preliminary Amendment  14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>  15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>  <b>OTHER: Letter Requesting Transfer of Sequence Listing from 09/286,098 (parent case) to application filed herewith</b>
<b>16. FOREIGN FILING</b>  <input type="checkbox"/> This application has not and will not be the subject of an application filed in another country, or under multilateral international agreement that requires publication of the application 18 months after filing.	

17. If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/286,098, filed on April 2, 1999, entitled METHODS AND PRODUCTS FOR STIMULATING THE IMMUNE SYSTEM USING IMMUNOTHERAPEUTIC OLIGONUCLEOTIDES AND CYTOKINES, and now Issued.


Prior Application Information: Examiner: Jane Zara

Group Art Unit: 1635

For CONTINUATION OR DIVISIONAL APPS ONLY: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 18. CORRESPONDENCE ADDRESS

Correspondence address below

<b>CUSTOMER NUMBER</b>	23628					
<b>ATTORNEY'S NAME</b>	Helen C. Lockhart, Reg. No. 39,248					<b>23628</b>
<b>NAME</b>	Wolf, Greenfield & Sacks, P.C.					
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<b>CITY</b>	Boston	<b>STATE</b>	MA	<b>ZIP</b>	02210	
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### 19. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

<b>NAME</b>	Edward R. Gates, Reg. No. 31,616
<b>SIGNATURE</b>	<i>Edward R. Gates</i>
<b>DATE</b>	<i>April 2, 2001</i>

Inventor or Identifier: KRIEG, Arthur M.

Serial No: Not yet assigned

Filed: Herewith

CHECK BOX, if applicable:

For: METHODS AND PRODUCTS FOR STIMULATING THE  
IMMUNE SYSTEM USING IMMUNOTHERAPEUTIC  
OLIGONUCLEOTIDES AND CYTOKINES

☐ **DUPLICATE**

**Fee Calculation Sheet**

CLAIMS	FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
	TOTAL CLAIMS (37 CFR 1.16(c))	22-20=	2 x	\$18	= \$ 36.00
	INDEPENDENT CLAIMS (37 CFR 1.16(b))	4-3=	1 x	\$80	= \$ 80.00
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d)) +			\$260	= \$
				BASIC FEE (37 CFR 1.16(a))	\$ 710.00
				Total of above Calculations =	\$ 826.00
				Reduction by 50% for filing by small entity (Note 37 CFR 1.9, 1.27, 1.28).	\$
				Assignment Recordation Fee (if any)	\$
				Other Fees (if any).	\$
				TOTAL =	\$ 826.00

1. A check in the amount of \$ 826.00 is enclosed.

**General Authorization to Charge Deposit Account and General Request for Extension of Time**

2. a. ☒ If the filing of any paper in this application necessitates the payment of a fee under 37 CFR §§ ☒ 1.16 ☒ 1.17 or ☐ 1.18, and the fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 23/2825.
- b. ☐ The applicant hereby revokes any prior authorization to charge a fee due under 37 CFR §§ ☐ 1.16 ☐ 1.17 or ☐ 1.18.
3. If the filing of any paper in this application necessitates an extension of time under 37 CFR § 1.136(a), the applicant hereby requests such extension of time. If the fee due is in an amount different from any enclosed check or if no check is enclosed, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 23/2825.

*Edward R. Gates*

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Docket No. C1039/7049 (HCL/MAT)  
Date: April 2, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Krieg et al.  
Serial No : Not Assigned  
Filed : April 2, 2001 -- Filed Herewith  
For : METHODS AND PRODUCTS FOR STIMULATING THE IMMUNE  
SYSTEM USING IMMUNOTHERAPEUTIC OLIGONUCLEOTIDES  
AND CYTOKINES  
Examiner : Not Assigned  
Art Unit : Not Assigned  
Express Mail : EL565146839US

COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

STATEMENT PURSUANT TO 37 CFR 1.821(f)

This statement is made pursuant to 37 CFR 1.821(f). Applicants enclose herewith a request to use a computer readable diskette from a prior application (U.S. Patent Application Serial Number 09/286,098). Applicant's attorney states that the content of the paper copy of the Sequence Listing previously filed in the above-identified application (filed herewith on April 2, 2001) and the computer readable diskette from the previous application (U.S. Patent Application Serial Number 09/286,098) contain the identical information and contain no new matter.

Respectfully submitted,



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Docket No.: C1039/7049 (HCL)  
Dated: April 2, 2001